

GUIDANCE FOR COMPLETING DOD SECURITY REVIEWS
OF GAO DRAFT REPORTS
(Revised 02/01/17)

REFERENCES: Executive Order 13526 and DoD Manual (DoDM) 5200.01, V1-4

1. Appropriate members of the primary action office (PAO) staff should review the draft report and identify any classified material by (1) bracketing the specific classified information within each paragraph of the report, (2) indicating the level of classification, (3) including the appropriate “classified by” or “derived from” information, and (4) specifying the downgrading or declassification instructions. It may also be appropriate to withhold certain unclassified sensitive information from public release. This information should also be bracketed within each paragraph and the rationale for withholding provided. General guidance for identifying and protecting unclassified information may be found in Enclosure 3, Volume 4, DoDM 5200.01, “DoD Information Security Program: Controlled Unclassified Information (CUI).”
2. Each collateral action office (CAO) is also required to review the draft report, bracket any classified or unclassified information within each paragraph that is not to be released, and provide the level of classification or reasons for withholding the unclassified material, as appropriate. In addition, each CAO should process the bracketed draft report through its own component information security office before providing it to the PAO. The copy provided to the PAO must have the component information and security office stamp.
3. Once the CAO input (i.e., a copy of the bracketed draft report) has been received, the PAO should then consolidate it into one package. Unclassified documents may be sent via email to whs.pentagon.esd.mbx.secrev@mail.mil (NIPRNET). Classified documents may be submitted either by classified fax to 703-614-4966, DoD SIPRNET via whs.pentagon.esd.mbx.dopsr@mail.smil.mil, JWICS via OfficeofSecurity@osdj.ic.gov, or hand carried via courier to OSD Mail Room 3C843, The Pentagon, or to the Defense Office of Prepublication and Security Review (DOPSR), Room 2A534, The Pentagon.
4. If utilizing courier please prepare the documents for classified mailing and address the package to the Defense Office of Prepublication and Security Review, 1155 Defense Pentagon, Washington DC 20301-1155.
5. DOPSR will (1) verify through the PAO that each collateral component security office had an opportunity to conduct a proper security review (if not, it will be returned to the component security office, which will result in a delay); (2) validate the component markings with red brackets; and (3) approve the public release of the report in full with DOPSR “Cleared” stamp, or the partial release with the “Cleared, As Amended” stamp if the report contains bracketed classified or sensitive unclassified information that may not be released. Thereafter, the report should be sent to the GAO with an applicable transmittal letter. (If the PAO or CAOs have any questions about the Security Review process, please call DOPSR at 703-614-4913 for clarification as soon as possible to avoid unnecessary delays.)

GUIDANCE FOR WORKING WITH THE GAO
DURING A GAO REVIEW
(Revised 02/01/17)

6. If the report is determined to contain classified information, the PAO should prepare a transmittal letter to the GAO and include the following paragraph:

“The GAO does not need permission to provide classified reports to Members of Congress. This is because Members of Congress do not need security clearances and are assumed to have a need to know by virtue of their special status as elected officials of the United States Government. By this letter the GAO is, however, authorized to release the classified report to congressional staff and other Federal Agencies, as necessary, providing the individual receiving and reviewing the report has (1) the appropriate security clearances, (2) a need to know, and (3) adequate containers in which to store the report.”

A copy of the signed transmittal letter and the completed security review (a stamped and bracketed copy of the draft report) is also to be provided to the WHS GAO Affairs Office.

7. If the report is determined to be unclassified, the PAO should prepare a transmittal letter to the GAO that indicates the report is unclassified and either “Cleared” for open publication or “Cleared, As Amended.” If unclassified information must be withheld, the letter must contain full explanation of the Department's position. A copy of the draft report with the appropriate OSR clearance stamp on the cover should also be provided to the GAO as an enclosure. (Similarly, a copy of the transmittal letter and the completed security review (i.e., a stamped copy of the draft report going to the GAO) is provided to the WHS GAO Affairs Office.
8. The GAO posts unclassified final reports on the Internet (www.gao.gov). Therefore, if you determine the report is unclassified but contains sensitive unclassified information that is inappropriate for unrestricted worldwide release, please notify your component security office and the PAO, who will immediately notify the WHS GAO Affairs Office liaison. In that case, the PAO would prepare a separate letter to the GAO requesting that the report (or portions of the report) not be posted on the GAO web site, followed by a full explanation or justification for the request.
9. The letter should also indicate that it has been coordinated with the DoD Office of the General Counsel (OGC). The OGC point of contact can be reached at 703-571-9344. The PAO should also coordinate the web request letter with the collateral, the WHS GAO Affairs Office, and DOPSR. The internet withhold request must be a separate letter from the DoD response.